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Assistance for Universities and Foundations in Federal Region 6 to Develop Joint Programs in the Environmental Field

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ASSISTANCE FOR UNIVERSITIES AND FOUNDATIONS IN FEDERAL REGION 6 TO DEVELOP JOINT PROGRAMS IN THE ENVIRONMENTAL FIELD

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at

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Assistance for University and Foundations in Federal Region 6 to Develop Joint Programs in the Environmental Field

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Development of an assistance program for universities and foundations requires an understanding of how they are structured, where they derive support, what their objectives are, and who makes the decisions concerning their stated objectives. Universities fall into two categories – state funded and private. The objectives of universities as non-profit organizations, whether state or private, are to provide education, promote creative thinking and support research.

Foundations can be classified into four categories – Independent, Company Sponsored, Community, and Operating Foundations. The four types derive their monies differently but are run in a similar fashion. Currently foundations funding environmental programs often lack the technical knowledge necessary to adequately evaluate proposals. Several assistances are discussed.

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ASSISTANCE FOR UNIVERSITIES AND FOUNDATIONS IN FEDERAL REGION 6 TO DEVELOP JOINT PROGRAMS IN THE ENVIRONMENTAL FIELD

INTRODUCTION

Development of an assistance program for universities and foundations requires an understanding of how they are structured, where they derive support, what their objectives are, and who makes the decisions concerning their stated objectives.

Universities fall into two categories -- state funded and private. The objectives of universities as non-profit organizations, whether state or private, are to provide education, promote creative thinking and support research. Decisions on university policy are made by the Board of Trustees and the University President. Private university boards have more control over the policies of the university, but are somewhat at the mercy of donor whims, since it is the donor who provides major support for the university. State universities, in addition to board policy, must also follow state guidelines established by the state legislature. The policies of the legislature may not always be in the best interest of education or research but are based on the most cost effective methods. Because universities of both type are always carrying out research an independent source of financing is often sought. Foundations are the principle source of outside funding available to most non-profit organizations.

Foundations can be classified into four categories -- Independent, Company Sponsored, Community, and Operating Foundations. The Foundation Directory defines these four types of foundations as follows (Fig. A):

Independent Foundation: A fund or endowment designated by the Internal Revenue Service as a private foundation under the law, the primary function of which is the making of grants. The assets of most independent foundations are derived from the gift of an individual or family. Some function under the direction of family members and are known as "family foundations." Depending on the range of their giving, independent foundations may also be known as "general purpose" or "special purpose" foundations.

Company
Foundation: A private foundation under the tax law deriving its funds from a profit-making company or corporation but independently constituted, the purpose of which is to make grants, usually on a broad basis although not without regard for the business interests of the corporation. Company-sponsored foundations are legally distinct from corporation contributions programs administered within the corporation directly from corporate funds.

Community
Foundation: In its general charitable purpose, a community foundation is much like many private foundations; however, its funds are derived from many donors rather than a single source as is usually the case with private foundations. Further, community foundations are usually classified under the tax law as public charities and are therefore subject to different rules and regulations under the tax law than those which govern private foundations.

Operating
Foundation: A fund or endowment designated under the tax law by the Internal Revenue Service as a private foundation, the primary purpose of which is to operate research, social welfare, or other programs determined by its governing body or charter. Most operating foundations award few or no grants to outside organizations.

The four types of foundations, while different in how they derive their monies, are run in a similar fashion. A director and his staff usually oversees the foundations daily business while a Board of Directors (or Trustees) decides what the objectives of the foundations are. Some family foundations, however, are run by family members in their spare time and have no staff. Some foundations have clearly defined areas of interest while others are open to almost any idea that is worthy.

Foundations provide several different types of support to non-profit organizations. Eight categories of support are identified in The Foundation Directory:

- o Capital support, including grants for buildings, purchase of land or equipment, and capital fund drives;
- o Continuing support, i.e. renewal grants to the same organization or program;
- o Endowments;
- o Fellowships and scholarships, including general student aid programs (excluding grants paid directly to individuals);
- o General or operating support, including grants for ongoing programs, services, or staff positions;
- o Matching or challenge grants, including grants to match funds provided by another organization as well as provisional grants awarded on the condition that the recipient will raise additional support from other sources;
- o Program development, including special projects seed money or startup funds, program expansion, and new staff or faculty positions;
- o Research, including studies, experiments, and demonstration projects.

REGION 6 FOUNDATIONS

The identification of foundations providing funding to environmental concerns in Region 6 was a primary objective of this study. Extensive research was conducted at the University of Texas at Arlington library and the Texas Christian University Funding Center. Directories of foundations, both a national and statewide, were used to identify foundations with an interest in the environment. A total of 171 foundations were identified in Region 6 as having an environmental interest. These foundations were contacted in order to further assess their commitment to the environment. Many of the foundations did not have a strong environmental program and were listed in the directories under that category due to funding of a garden club, city beautification campaign, or zoo. These foundations are not included in the final listing of regional foundations which support environmental projects.

Table 1 shows, by state in which foundation is headquartered, those foundations with an interest in environmental problems, the number of grants they have made in the environmental field, the total amount of funding provided for these projects, and the foundations principal environmental interests. Not all foundations would provide this information (especially on number and size of grants) but were included if they expressed a commitment to critical environmental problems. Even though they have not provided funding to environmental projects, The Community Foundation of Tarrant County is included in this list of foundations because they expressed an interest in becoming involved and requested assistance in this endeavor.

The foundations contacted were asked to provide a list of those non-profit organizations to which they provided funds for environmental projects. These non-profit organizations are listed in Tables 2 and 3. Table 2 provides a list of non-profit organizations headquartered in Region 6 that are involved in environmental initiatives. The national non-profit organizations are listed in Table 3.

TECHNICAL ASSISTANCE PROGRAMS

In formulating ideas for assistance programs, the decision was made to determine the type of assistance foundations needed that could be provided by universities. A query of more than 250 foundations (93 national, 171 regional) indicated that the major need foundations had was in evaluating grant proposals. Many issues in the environmental area involve very technical fields and most foundations do not have staff with expertise in the technical aspect of the issue. An advisory board composed of experts, selected based on the nature of the proposal, would review proposals and determine the validity of the proposal, the ability of the non-profit organization to complete the project, and whether the proposal was technically sound. The advisory board's review could then be used by the foundation in funding decisions.

A registry of professionals, in the various technical fields associated with current environmental issues, willing to evaluate proposals and offer other assistance to foundations is needed. Universities can provide an extensive pool of experts in numerous fields. University professors are actively involved in research, keep current on technology in their field, are familiar with budgetary requirements and can offer an objective view on projects. This vital resource should be tapped.

Another source of technical expertise is industry. There are hundreds of professionals with the type of

technical knowledge that foundations need. By developing an advisory board of experts from both academia and industry to review technical proposals on environmental projects foundations will be better able to fund projects capable of accomplishing their objectives, while eliminating wasteful spending on ineffective projects. An added benefit of these advisory boards would be obtained through the transfer of information between academia and industry.

Other types of assistance would also benefit foundations. A newsletter on environmental topics would allow the foundations to stay up-to-date on critical environmental topics. Training programs for foundation personnel on environmental topics would reduce foundation dependency on outside consultants to answer basic questions and seminars on the Environmental Protection Agency's function would increase foundations awareness of EPA's role.

CONCLUSION

Foundations currently funding environmental programs often lack the technical knowledge necessary to adequately evaluate proposals. To assist foundations, several types of assistance should be supplied. The types of assistance which foundations have expressed a need for include:

1. An advisory board to review proposals.
2. A national registry of technical experts available to answer questions.
3. A newsletter which addresses major environmental concerns.
4. Training for foundation personnel.
5. Information seminars on EPA's function.

REGION 6 FOUNDATIONS

STATE	FOUNDATION	Type*	No. of Grants	Total Amount	Types of envir. programs funded
OKLAHOMA					
	Dolese	I	-	-#	Various^
	Kerr (Rob. S. & Grace B.) Found., Inc.	I	2	50000	Envir. Education
	Noble (Samuel Roberts) Foundation	I	4	26750	Various
	Williams Company Foundation, Inc.	CO.	6	21096	Match contributions of their employees
		subtotal	12	97846	
TEXAS					
	AT and T Foundation	CO.	-	-	Various
	Amon G. Carter Foundation	I	2	13500	Various
	Brown Foundation	I	4	37500	Environmental Education
	Community Trust of Metropolitan Tarrant County	COMM.	0	0	Interested in beginning envir. funding
	Dodge Jones Foundation	I	1	-	Education (esp. children), various
	El Paso Community Foundation	COMM.	1	-	Ecology educ., various (El Paso area only)
	Enron Foundation	CO.	1	-	Various
	Ewing Halsell Foundation	I	1	25000	Conservation
	Hobby Foundation	I	-	-	Various
	Kleberg (RJ & HC) Foundation	I	2	509932	Envir. Management, Envir. Education
	Meadows Foundation	I	1	20000	Various
	Moody Foundation	I	1	130000	Conservation
	Rockwell Fund, Inc	I	4	23000	Recycling, Envir. Ed., Coastal Conser.
	San Antonio Area Foundation	COMM.	1	100	Various (SA area only)
	Shell Oil Company Foundation	CO.	34	302069	Envir. Ed.(collegiate), Conservation
	Trull Foundation	I	3	8000	Ecology, pesticides, effluent discharge
		subtotal	56	1069101	
		Total	68	1166947	

* Types of foundations: I-Independent, CO.-Company sponsored, and COMM.-Community

\# The number of grants &/or total amount was not provided by the foundation

^ These foundations have a wide range of environmental interests. They do not limit their grant-making to a particular environmental issue. Each proposal is judged based on its merits.

Table 1. Foundations headquartered in Region 6 that provide funding in the environmental field.

NON-PROFIT ORGANIZATIONS IN REGION 6

NON-PROFIT ORGANIZATION	LOCATION	GRANTS RECEIVED FOR:*
Texas Center for Policy Studies, Inc.	Austin, TX	Toxic waste
Texas Center for Rural Studies	Austin, TX	Pesticide program
Louisiana Wildlife Federation, Inc.	Baton Rouge, LA	Wetlands preservation
Nature Conservancy	Baton Rouge, LA	Wetlands preservation
Living on the Desert Project	El Paso, TX	Preservation of desert resources
Center for Marine Conservation	Houston, TX	Coastal cleanup
South Main Center Association	Houston, TX	Recycling
Nature Conservancy of Texas	San Antonio, TX	-----#
San Antonio Museum Association	San Antonio, TX	Ecology Educ.

* These are some examples of recent grants to these organizations. This is not a complete list of these organizations interests or activities.

Not provided

Table 2. Non-profit organizations in Region 6 that work in the environmental field.

NATICNAL NON-PROFIT ORGANIZATIONS

NON-PROFIT ORGANIZATION	LOCATION	GRANTS RECEIVED FOR:*
Citizens Clearinghouse for Hazardous Wastes, Inc.	Arlington, VA	Reduction of toxic substances
National Toxic Hazards Prevention Fund	Boston, MA	Toxic waste prevention
Environmental Defense Fund	New York, NY	Solid waste management, Resource protection, acid rain
INFORM, Inc.	New York, NY	Reduction of toxic wastes
Natural Resources Defense Council	New York, NY	Improve effluent discharge regulation program
National Resources Defense Council	New York, NY	Source reduction of hazardous waste
Environmental Research Foundation	Princeton, NJ	Information dissemination on hazardous chemicals
Institute for Resource Management	Salt Lake City, UT	Clean Air
Sierra Club	San Francisco, CA	-----#
Rocky Mountain Institute	Snowmass, CO	-----
Resources for the Future	Washington, DC	Risk Management
Center for Environmental Education	Washington, DC	Coastal cleanup of Texas beaches
Environmental Law Institute	Washington, DC	Environmental law, Envir. educ.
Citizens for a Better Environment	Washington, DC	Toxic use reduction
Environmental & Energy Study Institute	Washington, DC	Groundwater protection
Environmental Action Foundation	Washington, DC	Toxic liability
Center for Acid Rain & Clean Air Policy Analysis	Washington, DC	Reduction of toxins in the air
Conservation Foundation	Washington, DC	Conservation of Environment
Friends of the Earth	Washington, DC	Information dissemination

* These are some examples of recent grants to these organizations. This is not a complete list of these organizations interests or activities.

Not provided

Table 3. National non-profit organizations that work in the environmental field.